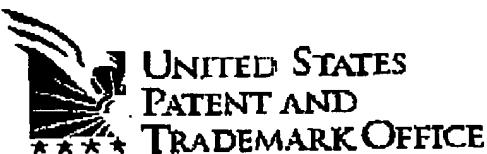


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TO: Commissioner of Patents

FAX NO.: 703-746-7239

FROM: EAMON J. WALL

DATE: August 15, 2003

MATTER: Serial No. 09/330,274 Filed: 6/11/99

DOCKET NO.: LTBE0013

APPLICANT: Luis Valent.

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TO: Commissioner of Patents

FAX NO.: 703-746-7239

FROM: EAMON J. WALL

DATE: August 15, 2003

MATTER: Serial No. 09/330,274 Filed: 6/11/99

DOCKET NO.: LIBE0013

APPLICANT: Luis Valent.

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Alberta Gamble  
Name of person signing this certificate

Alberta Gamble 8/15/2003  
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/330,274
	Filing Date	June 11, 1999
	First Named Inventor	Luis Valente
	Group Art Unit	2234
	Examiner Name	Paul E. Callahan
Total Number of Pages in This Submission	Attorney Docket Number LIBE0013	

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request – 1 mo. <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i> <input type="checkbox"/> Drawing(s)(10 sheets) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> <div style="text-align: center;">Certificate of Facsimile Transmission</div>
		Remarks  It is believed no fee is due. However, in the event a fee is due, kindly charge that fee to deposit account number 20-0782. To facilitate that charge, a duplicate copy of this letter is enclosed

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Eamon J. Wall, Reg. No. 39,414
Signature	
Date	August 15, 2003

216698-1

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P010/014

#(7C  
10-10-03IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

5 In re Application of: Luis Valente Docket No.: UBE0013  
Serial No.: 09/330,274 Art Unit: 2134  
Filed: June 11, 1999 Examiner: Paul E. Callahan  
10 Title:  
15 Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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15

AMENDMENT

20 Dear Sir:

In response to a non-final Office Action mailed July 15, 2003, please amend the  
above-identified application as follows:  
This paper includes (each beginning on a separate sheet):  
25 1. Amendments to the claims; and  
2. Remarks/Discussion of issues.

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012/014

*43* 23. (New) method of claim 18 wherein the end user receives security information within a digital certificate.

*44* 24. (New) The method of claim 18 wherein the entities the end user can trust include a certification authority.

*45* 25. (New) A method of controlling a computer system, comprising:  
10 storing a software provider root security information object in a local computing device;  
producing local root security information based on the stored software provider root security information object, wherein said local root security information identifies trusted entities, provides trust information that specifies the roles that the trusted entities can fulfill, and designates who can modify the local root entity information;  
receiving updated trust information;  
15 validating the received updated trust information using the local root security information and the software provider root security information object and updating the local root security information with the validated trust information.

*46* 26. (New) The method of claim 25 wherein the local computing device sends 20 local root security information to an upper-level entity.

*47* 27. (New) The method of claim 24 wherein the upper-level entity sends local root security information to a software provider.

*48* 28. (New) The method of claim 23 wherein the end user receives updated trust information embedded within a digital certificate.

*49* 29. (New) The method of claim 18 wherein the entities the local user can trust include a certification authority.

*50* 30. (New) A method of updating trust relationships of users, wherein each user includes stored software provider information and stored user root security information, the method comprising:

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011/014

IN THE CLAIMS

Please ADD new claims 18-32 and subsequently CANCEL claims 1-17.  
This listing of claims will replace all prior versions and listings of claims in the  
5 application.

Claims 1-17 (Cancelled).

18. (New) A method of securing a computer system of an end user, comprising:  
10 storing a software provider root security information object in an end user's  
computer system; and  
producing an end user root security information object based on the software  
provider root security information object;  
receiving security information from a higher-level entity;  
validating the received security information using the end user root security  
15 information object; and  
updating the end user root security information object based on validated security  
information;  
wherein the end user root security information object determines the entities the  
end user can trust, determines what functions a trusted entity can perform, and  
20 determines who can update the root security information object;  
wherein the end user root security information object is controlled by the software  
provider root security information object; and  
wherein the computer system refuses information from an entity that is not  
included in the end user root security information object.

25 19. (New) The method of claim 18 wherein the end user sends end user security  
information to the higher-level entity.

20. (New) The method of claim 19 wherein the higher-level entity sends end user  
30 security information to a software provider.

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013/014

maintaining an upper level root security information object in a computing device, wherein the upper level root security information object includes information regarding the user root security information of each user and information on the stored software provider information; and

5 sending a selected user updated security information; wherein the sent updated security information is security protected using the selected user's stored user root security information and the software provider information; and wherein the sent updated security information includes information regarding a

10 trusted entity.

20 (New) A method of claim 28 wherein the sent updated security information regards a certification authority.

25 (New) A method of claim 28 wherein the sent updated security information is embedded in a digital certificate.

30 (New) A method of claim 28 wherein the digital certificate is in accord with X.509 version 3.

35 (New) A method of claim 28 wherein the sent updated security information is also sent to a software provider.

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014/014

REMARKS

5 The Examiner stated that the amendment filed on 3-18-2003 canceling all claims drawn to the elected invention (elected by original presentation) and presenting only claims drawn to a non-elected invention is non-response (MPEP § 821.03).

10 Applicants thank the Examiner for the opportunity to address the issues presented by the Examiner. After carefully considering the specification, the original claims, the second set of claims present by the 3-18-2003 amendment, the Examiner's statements, and MPEP §821.03, the Applicants amend the application to cancel all pending claims and to add a third set of claims.

Applicant respectfully requests the Examiner to consider the pending claims.

CONCLUSION

15 Thus, the applicants submit that none of the claims, presently in the application are obvious under the provisions of 35 U.S.C. §103. Consequently, the applicants believe that all these claims are presently in condition for allowance. Accordingly, both reconsideration of this application and its swift passage to issue are earnestly solicited.

20 If, however, the Examiner believes that there are any unresolved issues requiring adverse final action in any of the claims now pending in the application, it is requested that the Examiner telephone or Eamon J. Wall, Esq. at (732) 530-9404 so that appropriate arrangements can be made for resolving such issues as expeditiously as possible.

25 Respectfully submitted,

Dated: 8/15/03

EJ Wall  
Eamon J. Wall, Attorney  
Reg. No. 39,414

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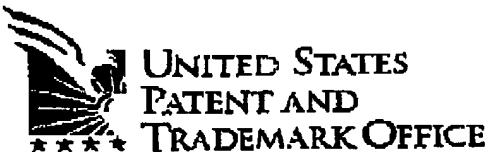
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<b>PATENT APPLICATION</b>			
Applicant(s):	Valente		
Case:	LIBE/APP2003		
Serial No.:	09/930,274	Filed:	6/11/03
Examiner:	P. Callahan	Group Art Unit:	2134
Title:	HIERARCHICAL OPEN SECURITY INFORMATION DELEGATION AND ACQUISITION		
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<b>COMMISSIONER FOR PATENTS</b> P.O. Box 1450 Alexandria, VA 22313-1450			
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As Assignee of record (Assignment Inventor to Network Computers, Inc. recorded on October 12, 1989 at Reel/Frame 010298/0719; change of name of Network Computers, Inc. to Liberete Technologies recorded on October 12, 1999 at Reel/Frame 010298/0549) or the sole inventor of the above-identified patent application, all powers of attorney previously given are hereby revoked and the following attorney and agents are hereby appointed to prosecute and transact all business in the United States Patent & Trademark Office connected therewith.			
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## PATENT APPLICATION

Applicant(s): **Valente**  
Case: **LIBE/APP28US**  
Serial No.: **09/330,274** Filed: **6/11/99**  
Examiner: **P. Callahan** Group Art Unit: **2134**  
Title: **HIERARCHICAL OPEN SECURITY INFORMATION  
DELEGATION AND ACQUISITION**

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**PATENT APPLICATION**

Applicant(s): **Valente**  
Case: **LIBE/APP28US**  
Serial No.: **09/330,274** Filed: **6/11/99**  
Examiner: **P. Callahan** Group Art Unit: **2134**  
Title: **HIERARCHICAL OPEN SECURITY INFORMATION  
DELEGATION AND ACQUISITION**

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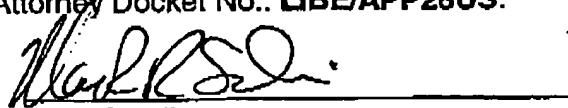
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Please mark the record to reflect new Attorney Docket No.: **LIBE/APP28US**.

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Mark Scadina  
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**TO:** PTO/Examiner Callahan  
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**COMPANY:** PTO  
**FROM:** Laura Crater for Eamon Wall  
**PAGE(S) with cover:** 14

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**MESSAGE:** Per conversation with Examiner Callahan, true copies of submitted but not processed POWER OF ATTORNEY/CHANGE OF CORRESPONDENCE ADDRESS and response to July 15, 2003 Action are attached.

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To EWALL  
cc Alberta Gamble/MPS, Sue McCormack/MPS  
bcc  
Subject LIBE/APP28US

**Eamon:**

This afternoon I held two telephone conferences with the Examiner (Paul Callihan, 703.305.1336) of the subject application. My goal was to have the notice of abandonment asserted by the Examiner withdrawn. During the first conference the Examiner provided criteria for withdrawing the notice of abandonment. That criteria was that the latest set of claims must be directed to the same invention as the initially filed claims. After reviewing the file, I discussed the matter with the Examiner in a subsequent telephone conference. Based on the language of the initially filed and the latest sets of claims, the Examiner agreed to withdraw the abandonment as being in error (he informed me that his supervisor would have to approve, but that the supervisor had previously authorized withdrawal of abandonment upon a showing that the latest set of claims was directed to the same invention as the initially filed claims).

Examiner Callihan stated that he would recall the application (from wherever it is that abandoned applications go) and then either finally reject the application or allow it.

**Alberta:**

Place this email into the file.

**Sue:**

We need to follow up on this matter to ensure it does not fall through the cracks. Please docket a status update check about 3 months from now.

John M. Kelly, Esq.  
Moser, Patterson & Sheridan LLP  
595 Shrewsbury Ave.  
Shrewsbury, NJ 07702

Phone: 732-530-9404 x1127  
Fax: 732-530-9808  
Cell: 202-744-4787

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TELEFAX (732) 530-9808

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TO: Commissioner of Patents  
FAX NO.: 703-872-9306  
FROM: Eamon J. Wall  
DATE: March 11, 2004  
MATTER: Serial No 09/330,274 Filed: June 11, 1999  
DOCKET NO.: LIBE APP28US  
APPLICANT: Valente

The following has been received in the U.S. Patent and Trademark Office on the date of this facsimile:

V Transmittal Letter (2 copies)

PAGE 23/52 \* RCVD AT 3/14/2005 5:54:00 PM [Eastern Standard Time] \* SVR:USPTO-EXRF-1/1 \* DNIS:8729306 \* CSID:+17325309808 \* DURATION (mm:ss):12:44

## TELEFAX COVER SHEET

### MOSER, PATTERSON & SHERIDAN, LLP

ATTORNEYS AT LAW  
595 SHREWSBURY AVENUE  
FIRST FLOOR  
SHREWSBURY, NJ 07702  
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TO: Commissioner of Patents

FAX NO.: 703-872-9306

FROM: Eamon J. Wall

DATE: March 11, 2004

MATTER: Serial No 09/330,274 Filed: June 11, 1999

DOCKET NO.: LIBE APP28US

APPLICANT: Valente

The following has been received in the U.S. Patent and Trademark Office on the date of this facsimile:

<input type="checkbox"/> Petition	<input checked="" type="checkbox"/> Transmittal Letter (2 copies)
<input type="checkbox"/> Disclosure Statement & PTO-1449	<input type="checkbox"/> Fec Transmittal (2 copies)
<input type="checkbox"/> Priority Document	<input type="checkbox"/> Deposit Account Transaction
<input type="checkbox"/> Drawings (sheets) informal/formal	<input checked="" type="checkbox"/> Facsimile Transmission Certificate
<input type="checkbox"/> Response Under 37 CFR 1.111	dated <u>March 11, 2004</u>
<input checked="" type="checkbox"/> Note to Examiner	

#### CERTIFICATE OF TRANSMISSION UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being transmitted by facsimile to the Commissioner for Patents, Washington, DC 20231 on March 11, 2004, Facsimile No. 703-872-9306.

Name of person signing this certificate  
Alberta Gamble

Alberta Gamble March 11, 2004

Signature and date

PTO/SB/21 (08-00)

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Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission  4

Application Number 09/330,274

Filing Date June 11, 1999

First Named Inventor Valente

Group Art Unit 2134

Examiner Name Callahan, Paul E.

Attorney Docket Number LIBE APP28US

## ENCLOSURES (check all that apply)

Fee Transmittal Form  
 Fee Attached  
 Amendment / Response –  
 After Final  
 Affidavits/declaration(s)  
 Extension of Time Request  
 Express Abandonment Request  
 Information Disclosure Statement  
 Certified Copy of Priority Document(s)  
 Response to Missing Parts/ Incomplete Application  
 Response to Missing Parts under 37 CFR 1.52 or 1.53

Assignment Papers (for an Application)  
 Drawing(s)  
 Licensing-related Papers  
 Petition Routing Slip (PTO/SB/69) and Accompanying Petition  
 Petition to Convert to a Provisional Application  
 Power of Attorney, Revocation Change of Correspondence Address  
 Terminal Disclaimer  
 Request for Refund  
 CD, Number of CD(s) \_\_\_\_\_

After Allowance Communication to Group  
 Appeal Communication to Board of Appeals and Interferences  
 Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  
 Proprietary Information  
 Status Letter  
 Other Enclosure(s) (please identify below):

Note To Examiner  
 Facsimile transmission

## Remarks

It is believed no fee is due. However, in the event a fee is due, kindly charge that fee to Deposit Account No. 20-0782. To facilitate that charge, a duplicate copy of this letter is enclosed.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Eamon J. Wall, Reg. No. 39,414 MOSER, PATTERSON & SHERIDAN, LLP
Signature	
Date	March 11 2004

PTO/SB/21 (08-00)

Please type a plus sign (+) inside this box → 

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

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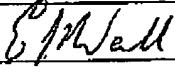
Total Number of Pages in This Submission

Application Number	09/330,274
Filing Date	June 11, 1999
First Named Inventor	Valente
Group Art Unit	2134
Examiner Name	Callahan, Paul E.
Total Number of Pages in This Submission	4
Attorney Docket Number	LIBE APP28US

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response –	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/68) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<b>Note To Examiner</b> Facsimile transmission
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
	Remarks	It is believed no fee is due. However, in the event a fee is due, kindly charge that fee to Deposit Account No. 20-0782. To facilitate that charge, a duplicate copy of this letter is enclosed.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Eamon J. Wall, Reg. No. 39,414 MOSER, PATTERSON & SHERIDAN, LLP
Signature	
Date	March 11, 2004

PATENT  
Atty. Dkt. LIBE.APP28US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re Application of Luis Valente

Serial No.: 09/330,274  
Filed: June 11, 1999

Group Art Unit: 2134  
Examiner: Paul E. Callahan

MAR 14 2005

For: HIERARCHICAL OPEN SECURITY INFORMATION DELEGATION AND  
ACQUISITION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 CFR 1.8	
I hereby certify that this correspondence and the accompanying documents referred to are being facsimile transmitted to the Commissioner for Patents, U.S. Patent and Trademark Office, fax number 703-672-9306, on the date below.	
<u>3/11/04</u> Date	<u>Roberta Gambale</u> Signature

Note to Examiner

Applicant sends this reminder regarding removal of the Notice of Abandonment dated December 16, 2003 in connection with the above-referenced patent application. We await an Office Action in response to the Amendment of August 15, 2003.

If the Patent Office believes that there are any unresolved issues regarding this Petition, please telephone John M. Kelly, Esq. or Eamon J. Wall, Esq. at (732) 530-9404 so that those issues may be addressed as expeditiously as possible.

Respectfully submitted,

Dated: 3/11/04

E. Wall

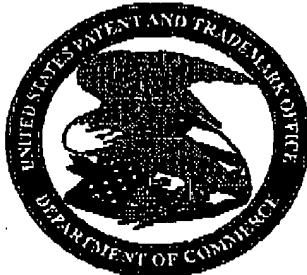
Eamon J. Wall, Attorney  
Reg. No. 39,414

CUSTOMER #26,291  
MOSER PATTERSON & SHERIDAN, LLP  
595 Shrewsbury Avenue, Suite 100  
Shrewsbury, New Jersey 07702  
732-530-9404 - Telephone  
732-530-9808 - Facsimile

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PAGE 27/52 \* RCVD AT 3/14/2005 5:54:00 PM (Eastern Standard Time) \* SVR:USPTO-EXRF-1/1 \* DNIS:8729306 \* CSID:+17325309808 \* DURATION (mm:ss):12:44

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Date Received: 6/2/2004 2:27:31 PM [Eastern Daylight Time]  
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Cover  
Page  
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06/02/2004 13:53 FAX 732 530 9808 MOSER, PATTERSON, SHERIDAN & WILSON 6/2/2004

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ATTORNEYS AT LAW  
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TO: Commissioner for Patents \_\_\_\_\_  
FAX NO.: 703-572-9306 \_\_\_\_\_  
FROM: Patricia J. Wall \_\_\_\_\_  
DATE: June 2, 2004 \_\_\_\_\_  
MATTER: Serial No. 09/350,374 Filed: June 11, 1999  
DOCKET NO.: LIBE APP2916 \_\_\_\_\_  
APPLICANT: Valente \_\_\_\_\_

The following has been received in the U.S. Patent and Trademark Office on the date of this facsimile:

Petition  
 Declaration Statement & PTO-1449  
 Priority Document  
 Drawing (above) (inventor's original)  
 Response Under 37 CFR 1.111  
 Second Note to Examiner

**X** Transmittal Letter (3 copies)  
 Fee Transmittal (2 copies)  
 Deposit Account Transcription  
 Facsimile Transmission Confirmation  
dated June 2, 2004

**CERTIFICATE OF TRANSMISSION UNDER 37 C.F.R. 51.6**

I hereby certify that this correspondence is being transmitted by facsimile to the Commissioner for Patents, Washington, D.C. 20231 on June 2, 2004, Facsimile No. 732-530-9808.

*Patricia J. Wall* \_\_\_\_\_ Date: June 2, 2004  
Name of person signing facsimile \_\_\_\_\_ Signature and date  
Alanna Cicchetti

PAGE 14 RCV'D AT 0226M 22/7/2004 [Eastern Daylight Time] \* SVR:USPTO-EXRF-1/1 \* DNIS:8729306 \* CSID:+17325309808 \* DURATION (mm:ss):12:44

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\*\*\* TX REPORT \*\*\*  
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TRANSMISSION OK

TX/RX NO	3719
CONNECTION TEL	17038729306
SUBADDRESS	
CONNECTION ID	PT0
ST. TIME	06/02 13:32
USAGE T	01'49
PGS. SENT	4
RESULT	OK

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TO: Commissioner for Patents

FAX NO.: 703-872-9306

FROM: Eamon J. Wall

DATE: June 21, 2004

MATTER: Serial No.: 09/330,274 Filed: June 11, 1999

DOCKET NO.: LIBE APP2&US

APPLICANT: Valente

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Petition  Transmittal Letter (2 copies)  
PAGE 29/52 \* RCVD AT 3/14/2005 5:54:00 PM [Eastern Standard Time] \* SVR:USPTO-EFXRF-1/1 \* DNIS:8729306 \* CSID:+17325309808 \* DURATION (mm:ss):12:44

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SHREWSBURY, NJ 07702  
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TO: Commissioner for Patents

FAX NO.: 703-872-9306

FROM: Eamon J. Wall

DATE: June 2, 2004

MATTER: Serial No.: 09/330,274 Filed: June 11, 1999

DOCKET NO.: LIBE APP28US

APPLICANT: Valente

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<input type="checkbox"/> Priority Document	<input type="checkbox"/> Deposit Account Transaction
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<input type="checkbox"/> Response Under 37 CFR 1.111	dated <u>June 2, 2004</u>
<input checked="" type="checkbox"/> Second Note to Examiner	

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Alberta Gamble  
Name of person signing this certificate  
Alberta Gamble

June 2, 2004

Signature and date

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

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Total Number of Pages in This Submission

3

Application Number	09/330,274
Filing Date	June 11, 1999
First Named Inventor	Valente
Group Art Unit	2134
Examiner Name	Callahan, Paul E.
Attorney Docket Number	LIBE APP28US

## ENCLOSURES (check all that apply)

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	Remarks	It is believed no fee is due. However, in the event a fee is due, kindly charge that fee to Deposit Account No. 20-0782. To facilitate that charge, a duplicate copy of this letter is enclosed.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Eamon J. Wall, Reg. No. 39,414 MOSER, PATTERSON & SHERIDAN, LLP
Signature	
Date	June 2, 2004

277840-1

PAGE 31/52 \* RCV'D AT 3/14/2005 5:54:00 PM [Eastern Standard Time] \* SVR:USPTO-EXRF-1/1 \* DNI:8728306 \* CSID:+17325309808 \* DURATION (mm:ss):12:44

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages In This Submission

3

Application Number	09/330,274
Filing Date	June 11, 1999
First Named Inventor	Valente
Group Art Unit	2134
Examiner Name	Callahan, Paul E.
Attorney Docket Number	LIBE APP28US

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response –	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Second Note To Examiner Facsimile transmission
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Eamon J. Wall, Reg. No. 39,414 MOSER, PATTERSON & SHERIDAN, LLP
Signature	
Date	June 2, 2004

277840-1

PAGE 32/52 \* RCV'D AT 3/14/2005 5:54:00 PM [Eastern Standard Time] \* SVR:USPTO-EXRF-1/1 \* DNI:8729306 \* CSID:+17325309808 \* DURATION (mm:ss):12:44

PATENT  
Atty. Dkt. LIBE.APP28US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Luis Valente

Serial No.: 09/330,274  
Filed: June 11, 1999Group Art Unit: 2134  
Examiner: Paul E. Callahan  
Confirmation No.: 9225RECEIVED  
CENTRAL FAX CENTER  
MAR 14 2005For: HIERARCHICAL OPEN SECURITY INFORMATION DELEGATION AND  
ACQUISITIONCommissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 CFR 1.8	
I hereby certify that this correspondence and the accompanying documents referred to are being facsimile transmitted to the Commissioner for Patents, U.S. Patent and Trademark Office, fax number 703-672-9306, on the date below.	
6/2/04 Date	<u>Alberto Gamble</u> Signature

## Note to Examiner

Applicant sends this Second reminder regarding removal of the Notice of Abandonment dated December 16, 2003 in connection with the above-referenced patent application. We await an Office Action in response to the Amendment of August 15, 2003.

If the Patent Office believes that there are any unresolved issues regarding this Petition, please telephone John M. Kelly, Esq. or Eamon J. Wall, Esq. at (732) 530-9404 so that those issues may be addressed as expeditiously as possible.

Respectfully submitted,

Dated: 6/2/04  
Eamon J. Wall, Attorney  
Reg. No. 39,414

CUSTOMER #26291  
MOSER PATTERSON & SHERIDAN, LLP  
595 Shrewsbury Avenue, Suite 100  
Shrewsbury, New Jersey 07702  
732-630-9404 - Telephone/732-530-9808 - Facsimile

277834-1

PAGE 33/52 \* RCVD AT 3/14/2005 5:54:00 PM [Eastern Standard Time] \* SVR:USPTO-EXRF-1/1 \* DNIS:8729306 \* CSID:+17325309808 \* DURATION (mm:ss):12:44

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\*\*\* TX REPORT \*\*\*  
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TRANSMISSION OK

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CONNECTION ID	
ST. TIME	01/10 16:03
USAGE T	02'12
PGS. SENT	8
RESULT	OK

## TELEFAX COVER SHEET

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ATTORNEYS AT LAW  
595 SHREWSBURY AVENUE  
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SHREWSBURY, NJ 07702  
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TO: Commissioner for Patents / ATTENTION EXAMINER CALLAHAN

FAX NO.: 703-746-7240 571-273-3869

FROM: Eamon J. Wall

DATE: 12/21/04 1/10/05

MATTER: Serial No.: 09/330,274 Filed: June 11, 1999

DOCKET NO.: LIBE APP28US

APPLICANT: Valente

FURTHER TO TELEPHONE CONVERSATION, INFORMAL

PAGE 34/52 \* RCVD AT 3/14/2005 5:54:00 PM [Eastern Standard Time] \* SVR:USPTO-EFXRF-1/1 \* DNIS:8729306 \* CSID:17325309808 \* DURATION (mm:ss):12:44

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TX/RX NO	1271
CONNECTION TEL	17037467420
SUBADDRESS	
CONNECTION ID	
ST. TIME	12/21 10:26
USAGE T	02'31
PGS. SENT	8
RESULT	OK

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FROM: Eamon J. Wall

DATE: 12/21/04

MATTER: Serial No.: 09/330,274 Filed: June 11, 1999

DOCKET NO.: LIBE APP28US

APPLICANT: Valente

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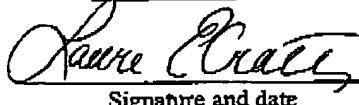
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MATTER: Serial No.: 09/330,274 Filed: June 11, 1999  
DOCKET NO.: LIBE APP28US  
APPLICANT: Valente

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Luis Valente

Docket No.: LIBE0013 (APP28US)

Serial No. : 09/330,274

Art Unit: 2134

Filed: June 11, 1999

Examiner: Paul E. Callahan

Title: HIERARCHICAL OPEN SECURITY INFORMATION DELEGATION AND ACQUISITION

**DRAFT**

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Laura E. Crater

SUBSTITUTE RESPONSE UNDER 37 C.F.R. 1.111

Dear Sir:

Further to the Applicants' attorney's telephone interview with the Examiner on December 13, 2004, set forth below is the Applicants' substitute response to the non-final Office Action mailed on December 20, 2002. As discussed with the Examiner, and further to Applicants' attorney's earlier telephone interview with the Examiner and Notes to the Examiner, the Applicants respectfully request withdrawal of the holding of abandonment of this application.

This paper includes (each beginning on a separate sheet):

1. Amendments to the claims; and
2. Remarks/Discussion of issues.

Serial No. 09/330,274

Page 2

IN THE CLAIMS

Please consider the claims as follows. This listing of claims will replace all prior versions and listings of claims in the application.

Claims 1-17 (Cancelled).

18. (New) A method of securing a computer system of an end user, comprising:

storing a software provider root security information object in an end user's computer system;

producing an end user root security information object based on the software provider root security information object;

receiving security information from a higher-level entity;

validating the received security information using the end user root security information object; and

updating the end user root security information object based on validated security information;

wherein the end user root security information object determines the entities the end user can trust, determines what functions a trusted entity can perform, and determines who can update the root security information object;

wherein the end user root security information object is controlled by the software provider root security information object; and

wherein the computer system refuses information from an entity that is not included in the end user root security information object.

19. (New) The method of claim 18 wherein the end user sends end user security information to the higher-level entity.

20. (New) The method of claim 19 wherein the higher-level entity sends end user security information to a software provider.

21. (New) method of claim 18 wherein the end user receives security information within a digital certificate.

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Serial No. 09/330,274

Page 3

22. (New) The method of claim 18 wherein the entities the end user can trust include a certification authority.

23 (New) A method of controlling a computer system, comprising:  
storing a software provider root security information object in a local computing device;  
producing local root security information based on the stored software provider root security information object, wherein said local root security information identifies trusted entities, provides trust information that specifies the roles that the trusted entities can fulfill, and designates who can modify the local root entity information;

receiving updated trust information;  
validating the received updated trust information using the local root security information and the software provider root security information object; and  
updating the local root security information with the validated trust information.

24. (New) The method of claim 23 wherein the local computing device sends local root security information to an upper-level entity.

25. (New) The method of claim 24 wherein the upper-level entity sends local root security information to a software provider.

26. (New) The method of claim 23 wherein the end user receives updated trust information embedded within a digital certificate.

27. (New) The method of claim 18 wherein the entities the local user can trust include a certification authority.

28. (New) A method of updating trust relationships of users, wherein each user includes stored software provider information and stored user root security information, the method comprising:

Serial No. 09/330,274

Page 4

maintaining an upper level root security information object in a computing device, wherein the upper level root security information object includes information regarding the user root security information of each user and information on the stored software provider information; and

sending a selected user updated security information;

wherein the sent updated security information is security protected using the selected user's stored user root security information and the software provider information; and

wherein the sent updated security information includes information regarding a trusted entity.

29. (New) A method of claim 28 wherein the sent updated security information regards a certification authority.

30. (New) A method of claim 28 wherein the sent updated security information is embedded in a digital certificate.

31. (New) A method of claim 30 wherein the digital certificate is in accord with X.509 version 3.

32. (New) A method of claim 28 wherein the sent updated security information is also sent to a software provider.

Serial No. 09/330,274  
Page 5

#### **REMARKS**

The Applicants' attorney thanks the Examiner for the courtesies extended during the telephone interview conducted on December 13, 2004. As discussed during the interview, herewith is the Applicants' substitute response to the non-final Office Action mailed on December 20, 2002. This response is intended as a full and complete response to the non-final Office Action mailed on December 20, 2002. In the Office Action, the Examiner notes that claims 1-17 are pending and rejected. By this response, the Applicants have canceled claims 1-17 and added new claims 18-32. The Applicants submit that new claims 18-32 are directed to subject matter supported by the application as filed.

In view of both the amendments presented above and the following discussion, the Applicants submit that none of the claims now pending in the application are indefinite, drawn to non-statutory subject matter, anticipated or obvious under the respective provisions of 35 U.S.C. §§112, 101, 102 and 103.

It is to be understood that the Applicants, by amending the claims, do not acquiesce to the Examiner's characterizations of the art of record or to the Applicants' subject matter recited in the pending claims. Further, the Applicants are not acquiescing to the Examiner's statements as to the applicability of the art of record to the pending claims by filing the instant responsive amendments.

#### **REJECTIONS**

##### **35 U.S.C. §112**

###### **Claims 1-8**

The Examiner has rejected claims 1-8 under 35 U.S.C. 112, ¶2, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the Applicants regard as the invention.

In view of the Applicants' cancellation of claims 1-8, the Applicants submit that the Examiner's rejection is moot and should be withdrawn.

##### **35 U.S.C. §101**

###### **Claim 9**

The Examiner has rejected claim 9 under 35 U.S.C. §101 as directed to non-statutory subject matter.

Serial No. 09/330,274

Page 6

In view of the Applicants' cancellation of claim 9, the Applicants submit that the Examiner's rejection is moot and should be withdrawn.

**35 U.S.C. §102**

**Claims 1, 2, 4-11 and 13-17**

The Examiner has rejected claims 1, 2, 4-11 and 13-17 under 35 U.S.C. §102(b) as being clearly anticipated by Bruce Schneier, *Applied Cryptography*, Second Edition, John Wiley & Sons Pub., Oct. 1995, Section 8.12 Public-Key Key Management, Public Key Certificates, and Section 24.9 ISO Authentication Framework, pp. 574-576.

In view of the Applicants' cancellation of claims 1, 2, 4-11, and 13-17, the Applicants submit that the Examiner's rejection is moot and should be withdrawn.

**35 U.S.C. §103**

**Claims 3 and 12**

The Examiner has rejected claims 3 and 12 under 35 U.S.C. §103(a) as being unpatentable over Schneier as applied to claims 1 and 9 above, and further in view of Official Notice.

In view of the Applicants' cancellation of claims 3 and 1, the Applicants submit that the Examiner's rejection is moot and should be withdrawn.

**CONCLUSION**

Thus, the Applicants submit that none of the claims, presently in the application are indefinite, drawn to non-statutory subject matter, anticipated or obvious under the respective provisions of 35 U.S.C. §§112, 101, 102 and 103. Consequently, the Applicants believe that all these claims are presently in condition for allowance. Accordingly, withdrawal of the holding of abandonment of this application and reconsideration of this application and its swift passage to issue are earnestly solicited.

If, however, the Examiner believes that there are any unresolved issues requiring adverse final action in any of the claims now pending in the application, it is requested that the Examiner telephone Eamon J. Wall, Esq. at (732) 530-9404 so that appropriate arrangements can be made for resolving such issues as expeditiously as possible.

324628v1

6

Serial No. 09/330,274  
Page 7

Respectfully submitted,

Dated: \_\_\_\_\_

Eamon J. Wall, Attorney  
Reg. No. 39,414

CUSTOMER #26,291  
MOSER PATTERSON & SHERIDAN, LLP  
595 Shrewsbury Avenue, Suite 100  
Shrewsbury, New Jersey 07702  
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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Luis Valente Docket No.: LIBE0013 (APP2BUS)  
Serial No.: 09/330,274 Art Unit: 3134  
Filed: June 11, 1999 Examiner: Paul E. Callahan  
Title: HIERARCHICAL OPEN SECURITY INFORMATION DELEGATION AND ACQUISITION

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3/10/05 *Luis E. Valente* 7 Page  
Date: *Luis E. Valente*

**SUBSTITUTE RESPONSE UNDER 37 C.F.R. 1.111**

Dear Sir:

Further to the Applicants' attorney's telephone interview with the Examiner on December 13, 2004, and per the Examiner's instructions on February 7, 2005, set forth below is the Applicants' substitute response to the non-final Office Action mailed on December 20, 2002. As discussed with the Examiner, and further to the Applicants' attorney's earlier telephone interview with the Examiner and Notes to the Examiner, the Applicants respectfully request withdrawal of the holding of abandonment of this application.

This paper includes (each beginning on a separate sheet):

1. Amendments to the claims; and
2. Remarks/Discussion of issues.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Luis Valente

Docket No.: LIBE0013 (APP28US)

Serial No. : 09/330,274

Art Unit: 2134

Filed: June 11, 1999

Examiner: Paul E. Callahan

Title: HIERARCHICAL OPEN SECURITY INFORMATION DELEGATION AND ACQUISITION

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*Laura E. Crater* 1 Page

Laura E. Crater

SUBSTITUTE RESPONSE UNDER 37 C.F.R. 1.111

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In re Application of: Luis Valente

Docket No.: LIBE0013 (APP28US)

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Serial No. : 09/330,274

Art Unit: 2134

Filed: June 11, 1999

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Laura E. Crater	

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2. Remarks/Discussion of issues.

Serial No. 09/330,2..

Page 2

IN THE CLAIMS

Please consider the claims as follows. This listing of claims will replace all prior versions and listings of claims in the application.

Claims 1-17 (Cancelled).

18. (New) A method of securing a computer system of an end user, comprising:

    storing a software provider root security information object in an end user's computer system;

    producing an end user root security information object based on the software provider root security information object;

    receiving security information from a higher-level entity;

    validating the received security information using the end user root security information object; and

    updating the end user root security information object based on validated security information;

    wherein the end user root security information object determines the entities the end user can trust, determines what functions a trusted entity can perform, and determines who can update the root security information object;

    wherein the end user root security information object is controlled by the software provider root security information object; and

    wherein the computer system refuses information from an entity that is not included in the end user root security information object.

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21. (New) method of claim 18 wherein the end user receives security information within a digital certificate.

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Serial No. 09/330,2..

Page 3

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28. (New) A method of updating trust relationships of users, wherein each user includes stored software provider information and stored user root security information, the method comprising:

Serial No. 09/330,2

Page 4

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Serial No. 09/330,2..

Page 5

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#### **35 U.S.C. §101**

##### **Claim 9**

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324628v1

Serial No. 09/330,2..  
Page 6

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**35 U.S.C. §102**

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**CONCLUSION**

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324628v1

Serial No. 09/330,2.  
Page 7

Respectfully submitted,

Dated: 2/16/05



Eamon J. Wall, Attorney  
Reg. No. 39,414

CUSTOMER #26,291  
MOSER PATTERSON & SHERIDAN, LLP  
595 Shrewsbury Avenue, Suite 100  
Shrewsbury, New Jersey 07702  
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